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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/990,726	11/14/2001	Avi J. Ashkenazi	P2730PIC16	3311
35489	7590	06/04/2004	EXAMINER	
HELLER EHRMAN WHITE & MCAULIFFE LLP			SPECTOR, LORRAINE	
275 MIDDLEFIELD ROAD			ART UNIT	
MENLO PARK, CO 94025-3506			PAPER NUMBER	

1647

DATE MAILED: 06/04/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/990,726

Applicant(s)

ASHKENAZI ET AL.

Examiner

Lorraine Spector, Ph.D.

Art Unit

1647

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 119-124 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 119-124 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 14 November 2001 is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 5/24/02.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

**Part III: Detailed Office Action**

Claims 119-131 are pending and under consideration.

The claims are drawn to the antibodies that bind to the polypeptide PRO809, also identified as encoded by DNA57836-1338 and ATCC accession number 203025, shown in Figures 150 (nucleic acid) and 151 (protein).

**Formal Matters:**

The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed.

Applicants are requested to update the continuity information, including the pendency status of all reference applications, at page 1 of the specification.

**IDS:**

The information disclosure statement, filed 5/24/2002, has been considered. The BLAST results demonstrate that applicants are aware of nucleic acids with identity/homology to the one claimed herein. However, as the BLAST results do not give sufficient identifying information, the Examiner cannot determine if said sequences constitute prior art.

**Priority Determination:**

This invention is found to lack utility, see rejections below. Accordingly, priority is merited only to the instant filing date, 11/14/2001.

Should the applicant disagree with the examiner's factual determination above, it is incumbent upon the applicant to provide the serial number and specific page number(s) of any parent application filed prior to the date recited above which specifically supports the particular claim limitation for each and every claim limitation in all the pending claims which applicant considers to have been in possession of and fully enabled for prior to that date.

**Objections and Rejections under 35 U.S.C. §§ 101 and 112:**

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 119-124 are rejected under §35 U.S.C. 101 because the claimed invention is not supported by either a specific, substantial and credible asserted utility or a well established utility.

The specification discloses a protein designated PRO809, and nucleic acid encoding such. There is no discussion of the structure of the protein encoded by the claimed nucleic acids, nor disclosure of any relationship between such structure and a purported function. There is no disclosure of any disease or condition in any way related to the nucleic acids or protein, nor disclosure of any diagnostic or analytical assay that could be performed using the claimed antibodies.

The claims are directed to antibodies that bind to the protein of SEQ ID NO: 259. The specification contains numerous asserted utilities including use to identify molecules that bind to PRO (including agonists and antagonists), as molecular weight markers, therapeutic agents, and for the production of antibodies. The utilities that pertain solely to nucleic acids (e.g. hybridization, chromosome and gene mapping, anti-sense) would not convey to the encoded protein or antibodies that bind thereto. With respect to the remaining utilities, none of these asserted utilities is specific for the disclosed PRO809 protein or antibodies, as each of the aforementioned utilities could be asserted for any naturally occurring protein, and further, as none of the asserted utilities requires any feature or activity that is specific to the disclosed PRO809.

Utility must be in readily available form. In *Brenner v. Manson*, 148 U.S.P.Q. 689 (Sup. Ct., 1966), a process of producing a novel compound that was structurally analogous to other compounds which were known to possess anti-cancer activity was alleged to be useful because the compound produced thereby was potentially useful as an anti-tumor agent in the absence of evidence supporting this utility. The court expressed the opinion that all chemical compounds

are “useful” to the chemical arts when this term is given its broadest interpretation. However, the court held that this broad interpretation was not the intended definition of “useful” as it appears in 35 U.S.C. § 101, which requires that an invention must have either an immediately obvious or fully disclosed “real world” utility. The instant claims are drawn to a polynucleotide encoding a protein which has undetermined function or biological significance. Until some actual and specific activity can be attributed to the protein identified in the specification as PRO809 protein or the polynucleotides encoding it, the claimed invention is incomplete. The instant specification provides the sequence of a protein, and then goes on to invite the reader to find out what the biological significance of the protein is, with suggestions as to what ‘might’ be. There is not credible correlation of the protein with any real world, available use, nor, by extension is there any real world use for the claimed antibodies. The instant specification lacks utility and is not enabling because one cannot, following the guidance presented therein, practice the suggested method without first making a substantial inventive contribution.

It is further noted that the nucleic acid encoding PRO809 is disclosed as having given positive results in a single assay, Example 170 beginning at page 539 of the specification, a gene amplification assay. Therein, PRO809 was found to be amplified approximately two fold in 3 of 10 human lung tumor squamous cell carcinoma cell lines, 2 of 9 human lung tumor adenocarcinoma cell lines, and the sole human lung tumor large cell carcinoma cell line. The finding that the nucleic acid encoding PRO809 is amplified, likely indicating aneuploidy, in the aforementioned tumor types is insufficient to confer utility to the nucleic acid. Cancerous tissue is known to be aneuploid, that is, having an abnormal number of chromosomes (see Sen, 2000, Curr. Opin. Oncol. 12:82-88). The data presented in the specification were not corrected for aneuploidy. A slight amplification of a gene does not necessarily mean overexpression in a cancer tissue, but can merely be an indication that the cancer tissue is aneuploid. The preliminary data were not supported by analysis of mRNA or protein expression, for example. In this case, the sequence of PRO809 was found at no more than two copies per cell, and only in a minority of tumors tested. The person of ordinary skill in the art would not consider the results to be significant or diagnostic in view of the review by Sen. Even *if* such were sufficient to confer utility to the nucleic acids, such would not be indicative of a use of the encoded polypeptide or antibodies that bind to such as a diagnostic or therapeutic agent. As stated above,

slight amplification of a gene does not necessarily mean overexpression in a cancer tissue, but can merely be an indication that the cancer tissue is aneuploid. The preliminary data were not supported by analysis of mRNA or protein expression, for example. Also, the literature reports that it does not necessarily follow that an increase in gene copy number results in increased gene expression and increased polypeptide expression, such that the claimed polypeptides would be useful for diagnosis of cancer or as a drug target. For example, Pennica et al. (1998, PNAS USA 95:14717-14722) disclose that:

“An analysis of *WISP*-1 gene amplification and expression in human colon tumors showed a correlation between DNA amplification and overexpression, whereas overexpression of *WISP*-3 RNA was seen in the absence of DNA amplification. In contrast, *WISP*-2 DNA was amplified in the colon tumors, but its mRNA expression was significantly reduced in the majority of tumors compared with the expression in normal colonic mucosa from the same patient.”

See p. 14722, second paragraph of left column; pp. 14720-14721, “Amplification and Aberrant Expression of *WISPs* in Human Colon Tumors.” Therefore, data pertaining to PRO809 nucleic acids do not necessarily indicate anything significant regarding the claimed PRO809 polypeptides. Thus, the data do not support the implicit assertion that PRO809 can be used as a cancer diagnostic. Significant further research would have been required of the skilled artisan to determine whether PRO809 is overexpressed in any cancer to the extent that it could be used as a cancer diagnostic, and thus the implicitly asserted utility is not substantial.

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 119-124 are also rejected under 35 U.S.C. 112, first paragraph. Specifically, since the claimed invention is not supported by either a specific, substantial and credible asserted

utility or a well established utility for the reasons set forth above, one skilled in the art clearly would not know how to use the claimed invention.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 122 and 124 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 122 is indefinite as an antibody cannot be a fragment of itself.

Claim 119 states that the claimed antibody "binds" the protein of SEQ ID NO: 12, whereas dependent claim 124 states that the antibody "specifically binds". The term "specifically" in claim 124 is a relative term which renders the claim indefinite. The term "specifically" is not defined by the claim, the specification does not provide a standard for ascertaining the requisite degree, and one of ordinary skill in the art would not be reasonably apprised of the scope of the invention.

**Rejections Over Prior Art:**

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

Claims 119 and 124 are rejected under 35 U.S.C. 102(a) as being anticipated by WO 2001 42451-A1. See enclosed sequence alignment, which corresponds to claim 21, page 827-828 of WO document. According to the abstract therein, the disclosure also discloses production of antibodies to the proteins.

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

Claims 119, 120, 123 and 124 are rejected under 35 U.S.C. 103(a) as being unpatentable over clone H74302, isolated by L. Hillier et al., WashUMerck EST Project 1995 in view of Sibson et al., WO94/01548.

By applicants admission at page 454 of the specification, the clone that was sequenced and designated DNA57836-1338 or PRO809, was purchased from Merck under clone designation H74302. According to NCBI, the cDNA was double stranded, and inserted in the "Lafmid BA vector", which was propagated in E. coli cells. With respect to claim 136, the DNA would necessarily have been "operably linked" to sequences in the vector for control of replication of the vector.

Sibson et al. disclose that it is generally useful to place a desired cDNA sequence into an expression vector, host cell, and express the encoded protein, as well as to raise antibodies to proteins encoded by such cDNA's. See pages 8-13. Antibodies and monoclonal antibodies are discussed at page 11. Sibson's suggestion at page 12 of using such antibodies in ELISA or RIA procedures would indicate to the person of ordinary skill in the art disclosure of labeled antibodies.

It would have been obvious to the person of ordinary skill in the art at the time the invention was made to use the DNA disclosed by applicants admission of H74302 to express and



then make antibodies to the encoded polypeptide as taught by Sibson et al. in view of Sibson et al.'s suggestion that it would be desirable to do so, as cited above.

A search of commercial sequence databases revealed numerous sequences with identity to SEQ ID NO: 222. L. Hillier et al., WashUMerck EST Project 1995 in particular, disclosed via electronic media numerous sequences from a human cDNA library. The electronic disclosures state that the cDNA was double stranded, and inserted in the "Lafmid BA vector", which was propagated in E. coli cells. It is not clear whether this vector is or is not an expression vector. Among the sequences disclosed by Hillier et al. are:

Result *	Locus Number	Date	Percent identity	to bases x-y of SEQ ID NO: 222	% Identity relative to shorter sequence	regions of 100% identity
2	H74303	10/31/95	99.3	556-969	99.3	587-969
4	H73373	10/31/95	92	12-479	90	14-349
5	H58326	10/5/95	96.1	279-685	93.8	284-484, 486-593
11	RO2548	3/31/95	98.9	693-974	73.6	698-974

\* See appended computer printout of sequence search results

Claims 119, 120, 123 and 124 are rejected under 35 U.S.C. 102(b) as being anticipated by L. Hillier et al., WashUMerck EST Project 1995 in view of Sibson, for reasons cited above. Antibodies raised to any of the proteins encoded by the above sequences would be expected to specifically bind to the protein of SEQ ID NO: 223.

Claims 121 and 122 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hillier et al., any one of loci H74302, H74303 H73373 H58326 or RO2548, any one in view of Sibson as cited in the above rejections under 35 U.S.C. § 103(a), and further in view of U.S. Patent Number 5,565,332 (Hoogenboom et al.) in the case of claim 121, or in view of U.S. Patent Number 4,946,778 (Ladner et al. ) in the case of claim 122.

Claims 121-122 contain the additional limitation that the claimed antibodies are humanized, or a fragment of an antibody. The primary references taken in view of Sibson teach antibodies, monoclonal antibodies and labeled antibodies, but not humanized or fragment antibodies.

Hoogenboom et al. disclose humanized antibodies and methods of making such. At col. 1 lines 16-30 they disclose the advantages of such as being overcoming the problem of elicitation of anti-globulin response when a non-human antibody is administered to a human. See also col. 3 lines 8-15 in this regard. At column 2 lines 57+, they disclose that antibody fragments can perform the function of whole antibodies, and set forth single chain antibodies as being examples of antibody fragments.

Ladner et al. teach the construction of single chain antibodies. The stated advantages of such as enumerated at column 3 lines 32-48 include smaller size, greater stability, lower cost, lower immunogenicity, etc.

It would have been obvious to the person of ordinary skill in the art at the time the invention was made to substitute the antibodies of obvious over the Hillier disclosures in view of Sibson into the single chain or humanized antibodies of Ladner et al. or Hoogenboom et al. to attain the known and expected advantages of such as set forth by the secondary references and as referred to above. It is noted that a single chain antibody is considered additionally to be an 'antibody fragment', as disclosed by Hoogenboom et al.

Accordingly, the invention, in view of the prior art, is *prima facie* obvious.

**Advisory Information:**

No claim is allowed.

Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Lorraine M. Spector. Dr. Spector can normally be reached Monday through Friday, 9:00 A.M. to 3:00 P.M. ***Effective 1/21/2004, Dr. Spector's telephone number is 571-272-0893.***

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Dr. Gary L. Kunz. ***Effective 1/21/2004, Dr. Kunz' telephone number is 571-272-0887.***

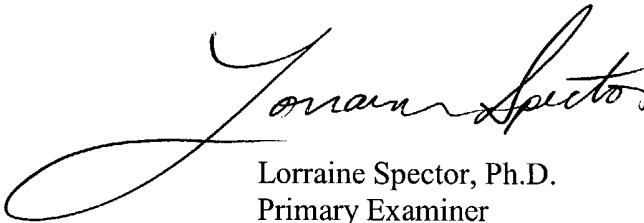
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Certain papers related to this application may be submitted to Group 1800 by facsimile transmission. The faxing of such papers must conform with the notices published in the Official Gazette, 1156 OG 61 (November 16, 1993) and 1157 OG 94 (December 28, 1993) (see 37 C.F.R. § 1.6(d)). NOTE: If Applicant does submit a paper by fax, the original signed copy should be retained by applicant or applicant's representative. NO DUPLICATE COPIES SHOULD BE SUBMITTED so as to avoid the processing of duplicate papers in the Office.

Official papers filed by fax should be directed to (703) 872-9306 (before final rejection) or (703)872-9307 (after final). Faxed draft or informal communications with the examiner should be directed to **571-273-0893**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Lorraine Spector, Ph.D.  
Primary Examiner